PATRONS SECURITIES LIMITED
百惠證券有限公司

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Account Opening Documents Checklist (Corporate) 開立帳戶文件核對清單 (公司)

Account Opening Documents 開戶文件	
Please read the Opening Document below 請客戶閱讀以下之文件 :	
☐	Securities Client Agreement and Schedules 證券客戶協議及附表
Please completed and signed the forms below 請客戶填妥並簽署以下之 表格:	
☐	1. Securities Account Opening Form (Corporate) 證券戶口開立表格 (公司)
☐	2. Self-Certification form-Entity Account 自我證明表格-實體帳戶 (AEOI & FATCA)
☐	3. IRS Form 美國國稅局之表格 ☐ W-8BEN-E (Non U.S. Entities 非美國法人- For Proprietary Trading A/C 自營交易帳戶) and /or 及/或 ☐ W-8IMY (Non U.S. Entities 非美國法人- For Nominee / Intermediary Account 代理人 /中介人帳戶)
☐	4 AML & ATF Questionnaire 防止洗黑錢及防止恐怖份子籌資活動問卷 : ☐ Corporation 公司 / ☐ Financial Institutions 金融機構
Please completed and signed the forms below 請客戶填妥並簽署以下之 表格: (if applicable 如適用)	
☐	5. CRS-CP (Controlling Person Tax Residency Self-Certification 控權人稅務居民身份自我證明) * If the company is a Passive NFE, the individual(s) identified as having ultimate control of the company is/are required to provide the form (CRS-CP). * 若公司為被動非財務實體，該公司擁有最終控制權的個人亦需提供 (CRS-CP) 表格。
☐	6. Client Risk Profile Questionnaire (Corporate) 客戶風險取向問卷 (公司)
☐	7. Client Money Standing Authority 客戶款項常設授權 (Clients opening more than one account in PATRONS 適用於客戶於百惠開設多於一個帳
☐	8. Client Securities Standing Authority (for Margin Account) 客戶證券常設授權 (保證金帳戶)
☐	9. Individual/Corporate Professional Investors (Category B) Assessment Form 個人/公司專業投資者(B 類) 評估表格
☐	10. Guarantor Profile Information 擔保人資料表 & Deed of Guarantee擔保書(if any 如有)

Documents attached by client 客戶附上之文件	
☐	Certified true copy of Board Resolution / Minutes 董事會會議記錄或決議之核證副本
☐	Guarantee of Directors 公司董事擔保書 (if any 如有)
☐	Certified true copy of bank statement : printed with corporate's name , address and bank account number. (issued within last 3 months) 銀行結單核證副本 : 列有公司名稱、地址及帳戶號碼 (最近三個月內發出)
☐	Certified true copy of Certificate of Incorporation 公司註冊證書之核證副本
☐	Certified true copy of Memorandum &Articles of Association (before March 2014) 公司章程大綱及細則之核證副本(2014 年 3 月前)
☐	Certified true copy of the Latest Annual Return (Form NAR1) 最近一期周年申報表 (NAR1 表格)
☐	Certified true copy of Audited Financial Statement (within 1 year) (if required) 審計財務報表之核證副本 (一年內) (如需要)
☐	Certified true copy of of ID Card (both sides) /Passport and residential address proof (within 3 months) 身份證 (正背面) 或護照副及地址證明之核證副本 (三個月內) ☐ Directors 董事 ☐ Authorized Persons 獲授權人士 ☐ Shareholders &Ultimate Beneficial Owner(s) (with 10% or more voting rights) 主要股東&最終受益擁有人(擁有 10% 或以上之投票權)、 ☐ Guarantor (if any) 擔保人(如有)
☐	For Overseas Company (within 6 months) 海外註冊公司 (六個月內) (If applicable如適用) ☐ Certified true copy of Certificate of Incumbency 公司註冊證書之核證副本 ☐ Certified true copy Certificate of Good Standing 公司存續證明書之核證副本 ☐ Certified true copy of Register of Member & Register of Directors 股東名單及董事名單之核證副本
☐	Ownership and structure control Chart of the Client 公司的擁有權及控制權架構圖 (if applicable)如適用)
☐	Company Bank Reference 公司銀行參考 (If applicable 如適用)
☐	Professional Investors(Category B) 專業投資者(B類) (If applicable如適用) ☐ Certified true copy of Asset Proof 資產證明之核證副本 ☐ Investment Experience Proof 投資經驗證明
Additional Documents (account opening in a non-face to-face approach) 附加文件 (非面對面的情況下開戶)	
☐	A cheque with amount not be less than HK$10,000 附上金額不少於港幣 10,000 元支票 ☐ issued from a licensed bank in HK 由香港持牌銀行發出 ☐ payable to "Plotio Securities Limited " 支票抬頭「百惠證券有限公司」 ☐ client name shown on cheque 客戶名稱須顯示於支票上 ☐ same signature on cheque and Account Opening Form 客戶之簽名於支票上，須與證券戶口開立表格上相同 *The fund will be available in your portfolio when the cheque is cleared 支票將存入客戶於本公司之證券買賣內，待支票兌現後才可使用該款項
☐	Arrange witnessing professional to sign on Account Opening Form and certify true ALL above-mentioned documents required 安排見證人於開戶表格上簽署及所有上述文件的認證副本 Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, the signing of the client agreement (as defined in paragraph 6.1 of the Code of Conduct) and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary. 如開戶文件並非在持牌人或註冊人的僱員面前簽立，則客戶協議（如《操守準則》第 6.1 段所界定）的簽立，及有關的身份證明文件的見證，應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。 • Sign and write "Certified True Copy" on the photocopy of the documents; 在有關副本上簽署及寫上「經核實之真實副本」; • Sign and state his/her full name and specific designation on the original copy of the Account Opening Form, and 在開戶申請表的正本上簽署，並註明見證人的姓名及職銜; 及 • Attach his/her business card. 附上見證人的名片

* Other documents and/ or information (if necessary) that may be required by PATRONS.
百惠證券可能要求(如有需要) 其他文件和/ 或資料。

* No trading will be allowed until all the relevant documents submitted are checked and approved by the Company.
以上有關文件未經本公司核證及批准前，客戶不可進行任何證券交易。
For enquiry, please call our customer services department. 如有查詢，請致電我們的客戶服務部 : (852) 3192 9588。